

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Shayne Young

Serial No. 09/866,500


Filed: May 25, 2001

For: METHODS AND SYSTEMS FOR
MANAGING A PORTFOLIO OF
SECURITIES

§ Examiner: Unknown

§
§ Group Art Unit: 2164

§
§ Atty. Dkt. 5226-01500

<p>Certificate of Mailing 37 C.F.R. § 1.8(a)</p> <p>I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below:</p> <p>4-5-02  Date Jackie L. Pitre</p>

PATENT

RECEIVED

APR 16 2002

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

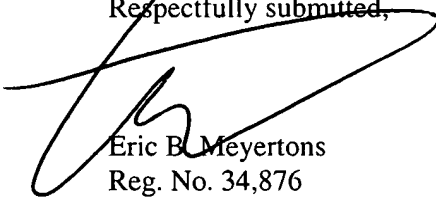
Sir:

Applicant respectfully requests that the Examiner consider the following U.S. Patent applications: 09/460,045, 09/629,657, 09/629,356, 09/676,019, 09/876,270, 09/885,817, 09/885,865, 09/970,078, 09/934,448 and 10/014,948. A copy of each of the above-referenced applications is enclosed for the convenience of the Examiner. Each of the above-referenced patent applications is to be considered as "Trade Secret" materials. As such, each of the above-referenced applications has been sealed and clearly marked as "Trade Secret" materials. The enclosed applications are not open to the public. The enclosed patent applications are to be opened only by an Examiner or other authorized Patent and Trademark Office employees.

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. A copy of each listed document is enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-01500/EBM.

Respectfully submitted,


Eric B. Meyertons
Reg. No. 34,876
Attorney for Applicant(s)

CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TEXAS 78767-0398
(512) 703-1264

Date: 4/4/02

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01500

SERIAL NO: 09/866,500

RECEIVED

APR 16 2002

APPLICANT: Shayne Young Technology Center 2100

FILING DATE: May 25, 2001

GROUP: 2164

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	B1	4,674,044	6/1987	Kalmus, et al.			
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keise,r et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.
	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.
	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.
	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01500

SERIAL NO: 09/866,500

APPLICANT: Shayne Young

FILING DATE: May 25, 2001

GROUP: 2164

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

RECEIVED
APR 16 2002
Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000
	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Information Disclosure Statement--PTO 1449 (modified)

Förm PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01500

SERIAL NO. 09/866,500

APPLICANT: Shayne Young

FILING DATE: May 25, 2001

GROUP: 2164

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	C15	4,750,135	6/1988	Boilen			
	C16	4,745,559	5/1988	Willis, et al.			
	C17	6,278,982	8/2001	Korhammer, et al.			

RECEIVED**APR 16 2002****Technology Center 2100****FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Information Disclosure Statement--PTO 1449 (modified)